

RECEIVED CENTRAL FAX CENTER JAN 0 6 2005

North America Intellectual Property Corporation

P.O. BOX 506, Merrifield, VA 22116, U.S.A. Voice Mail: 302-729-1562 FAX:806-498-6673 e-mail:winstonhsu@naipo.com

FAX TO: Gebremariam, Samuel A Tel: (571) 272-16535

ART UNIT: 2811 Fax: (703) 872-9306

FROM: Winston Hsu, PATENT AGENT, REG. NO.: 41,526

SERIAL NO.: 10/707,225

ATTORNEY DOCKET NO.: NAUP0551USA

SUBJECT: INFORMATION DISCLOSURE STATEMENT

TOTAL PAGES: 7 PAGES (INCLUDING COVER PAGE)

Winston Hsu 2005/01/06

NAUP0551USA0_D1 _1

PTO/SB/97 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of Information unless it contains a valid OMB control number.

Certificate of Transmission under 37 CFR 1.8

·	smission under 37 CFR 1.8
I hereby certify that this correspondence States Patent and Trademark Office	is being facsimile transmitted to the United
on01/06/2005	•
Date	
She	y/ Lee
Sign	năture
Sh	eryl Lee
Typed or printed n	ame of person signing Certificate
	Voice Mail:302-729-1562
Registration Number, if applicable	Telephone Number
	·
lote: Each paper must have its own certific must identify each submitted paper	
Application Number: 10/707,225	
(1) Transmittal Form	1 PAGE
(2) Fee Transmittal	1 PAGE
(3) Information Disclosure Statement	3 PAGES

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO, Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Pa	inelwijk Reduction Act of (1995 na naman	U.S	5. Patent and	Approved for use	PTO/SB/21 (09-04) through 07/31/2006. OMB 0651-0031 U.S. DEPARTMENT OF COMMERCE it displays a valid OMB control number. FAX CENTE		
	A THE RESIDENCE TO THE	185. 10 54800	Application Number	10/70	7,225	displaye a valid OMB control number.		
TR		1		11/28	/2003	JAN 0 6 7005		
	FORM		First Named Inventor	Jing-l	Homg Gau	6 2005		
			Art Unit	2811				
(In he weed for	t all componentano obor b	Mol Minut	Examiner Name	Gebre	emariam, S	Samuel A		
(to be used for all correspondence after Initial filing) Total Number of Pages in This Submission 5			Attorney Docket Number	_	JP0551USA			
		ENC	LOSURES (Chock a	all that apply	v)			
Fee Tran	esmilital Form		Drawing(s)			Allowance Communication to TC		
l - 🗀	ee Attached		Licensing-related Papers			al Communication to Board peals and Interferences		
Amendm	ent/Reply		Petition		Appe	el Communication to TC el Notice, Brief, Reply Brief)		
	fter.Final	LJ F	Patition to Convert to a Provisional Application	•		ietary Information		
A	ffidavits/declaration(s)		Power of Attorney, Revocat Change of Correspondence		Statu	s Letter		
	n of Time Request		Terminal Disclaimer		Other below	Enclosure(s) (please identify		
Express	Abandonment Request		Request for Refund					
	•	. 🗂 ,	CD, Number of CD(s)					
(niomaii	on Disclosure Statemen	, ,	Landscape Table on (
Certified	Copy of Priority	Remar				· · · · · · · · · · · · · · · · · · ·		
Documer								
Incomple R	Missing Parts/ te Application teply to Missing Parts nder 37 CFR 1.52 or 1.5	i 3				•		
,	SIGI	NATURE O	F APPLICANT, ATTO	DRNEY. C	RAGENT			
Firm Name			America Intellectu			ration		
Signature			Winter	-	orty Gorpo			
Printed name	·		Winston					
Date	01/06/2005			Reg. No.		41,526		
I hereby certify the sufficient postage the date shown be Signature	e as first class mail in an	eies of the color	TATE OF TRANSMISS Thile transmitted to the USP dressed to: Commissioner for the USP	TO or depos	ited with the Ur	nited States Postal Service with Alexandria, VA 22313-1450 on		
A-SHEVELA								
Typed or printed	name				Date			

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paper	work Reduction Act	of 1995 no.c	persons am required	to res	U.S. Patent	loca Tex	damadu Off	· · use through ice; U.S. DEF	340T4J#	006. OMB	
	Effective on							e if Know		JWB COUL	M number
Z			Act, 2006 (H.R. 481		Application Num		10/707				·
	: IKAI	NSN	NITTAL	_	Filing Date		11/28/	···	<u> </u>	· · · · · · · · · · · · · · · · · · ·	
	For F	Y 200	5		First Named Inv	rentor					
Applicant					Examiner Name Gebremariam, Samuel A						
Applicant c	laims small entity	status. Se	e 37 CFR 1.27		Art Unit		2811				· · · · · · · · · · · · · · · · · · ·
TOTAL AMOUN	T OF PAYMENT	(\$) 0.0)0		Attorney Docket	No.		0551USA	<u> </u>		
METHOD OF	PAYMENT (che	ck all that	apply)								
			ey Order 1		•						
1			nber: 50-3105					h America In	ntellectu:	al Prope	rty Corp.
			unt, the Director is	s here	by authorized to:	: (check	all that a	objA)			
	narge fee(s) indica					e fee(s)	indicated	below, exc	ept for	the filin	g fee
رن کے ا	der 37 CFR 1.18	and 1.17	r underpayments o				erpaymen	•			
WARNING: Inform	ation on this form	may become	e public. Credit care	d info	rmation should no	ot be incl	luded on t	his form, Pro	ovide cre	adit card	
FEE CALCUL		<i>-2000.</i>								_	
	···-	AND EXA	MINATION FEE	-8			·		-		
		ING FEES	S SE	EARC	H FEES	EXAM	IINATIO	N FEES			
Application	<u>Type</u> <u>Fee</u>		Entity e(\$) Fee	e (\$)	Small Entity Fee (\$)	Fee		l Entity e (\$)	Fe	eş Pald	(\$)
Utility	30			00	250	200)() ETEK		1	347
Design	200	0 10	10	00	50	130	7	5 <i>5</i>		•	
Plant	200	0 10	0 30	00	150	160		30			
Reissne	300	0 15	0 50	90	250	600		00			
Provisional	200	0 10	0	0	o	0		0			
2. EXCESS CI								•		Sm:	all Entity
Fee Description Each claim ove		ksn es , eacl	h claim over 20	and r	more than in th	ie origi	nat mater	.		<u>= (\$) </u>	25
Each independe	ent claim over 3	or, for Re	cissues, each ind	lepen	ident claim mo	re than	in the o	n riginal pat	ent 20	00	100
Multiple dependent	dent claims							-	36	60	180
<u>Total Claims</u>	<u>Extra (</u>) or HP =	Claims x	<u>Fee (\$)</u> <u>F</u>	ee Pa	aid (\$)	-		dent Claim	_		
HP = highest num	iber of total claims p		exter than 20			<u> </u>	(\$)	Fee Pa	<u>10 (\$)</u>		
Indep. Claims	crHP =	<u> Zlaims</u>	<u>Fee (\$)</u> <u>Fe</u>	ee Pa	<u>iid (\$)</u>	- ,	•				
	ber of independent (x ctaims paid f	or, if greater than 3								
3. APPLICATION											
If the specific	ation and drawi	ngs excee	ed 100 sheets of	pape	r, the applicati	ion size	fee due	is \$250 (\$	125 fo	r small	entity)
Total Shee	dougonal 50 sne Extre	ets or mad Sheets	ction thereof. So		9 U.S.C. 41(a)(additional 50 or					Fee Pai	id (8)
	100 =		50 =		(round up to a w				= H	FRE PE	<u>(U (\$)</u>
4. OTHER FEE	(8)									Fees P	 aid (\$)
	•	, \$130 f	œ (no small enti	ity di	scount)						
Other:					<u></u>				_		
SUBMITTED BY											
Signature	Inst	waters	Lan		egistration No.	41,526	}	Telephone	302-	-729-15	562
Name (Print/Type)				<u> </u>	ttomey/Agent)		- · · · · · · · · · · · · · · · · · · ·	Date 01			

Name (Print/Type) Winston Hsu

This collection of Information is required by 37 CFR 1.136. The Information is required to obtain or retain a benefit by the public which is to tile (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need essistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/S8/06A (08-03)
Approved for use through 07/31/2006, OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449/PTO Application Number 10/707,225 Filing Date 11/28/2003 INFORMATION DISCLOSURE First Named Inventor Jing-Homg Gau STATEMENT BY APPLICANT Art Unit 2811 (Use as many sheets as necessary) **Examiner Name** Gebremariam, Şamuel A Sheet 1 of 1 Attorney Docket Number NAUP0551USA

Examiner (Cite No.1	Number-Kind Code ^{2 (7 known)} US- 6,232,197 B1	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Peges, Columns, Unes, Where Relevant Passages or Relevant Figures Appear		
	1		05-15-2001	Meng-Jin Tsat			
	2	^{US-} 6,459,117 B1	10-01-2002	Ping Liou	***		
	3	US-6,468,858 B1	10-22-2002	Chine-Gie Lou	*		
		US-		<u> </u>			
		US-					
		US-		<u> </u>	'		
		US-		<u> </u>			
		US-					
		US-		· ¬			
		US-	^	Was a second and a second a second and a second a second and a second			
		UŜ-			7		
		US-		<u> </u>			
		US-					
		US-					
·		US-					
· · · · ·	~	US-		· · · · · · · · · · · · · · · · · · ·			
	· ·	US-					
<u> </u>		US-		<u> </u>			
•		US-					

	FORE	IGN PATENT DOCU	MENTS		<u> </u>
Examiner Cite Initials* No.1	Foreign Patent Document	Publication	Name of Patentee or	Pages, Columns, Lines,	
	Country Code ³ Number ⁴ Kind Code ⁵ (# Imown)	MM-DD-YYYY		Or Relevant Figures Appear	T
	V W.A				
					<u> </u>
			·		-
			•		
	4	No.1 Foreign Patent Document	No.1 Publication Date MM-DD-YYYY	No.1 Date Applicant of Cited Document	Cite Foreign Patent Document Publication Name of Patentee or Pages, Columns, Lines, No. Applicant of Cited Document Where Relevant Passages MM-DD-YYYY

Examiner
Signature

Date
Considered

"EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation to attached.

This coffection of information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office. P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jing-Horng Gau

Appl. No.: 10/707,225

Filing Date: 11/28/2003

Examiner:

Gebremariam, Samuel A

Art Unit: 2811

Docket No.: NAUP0551USA

10

Title:

METAL-INSULATOR-METAL

(MIM)

CAPACITOR

AND

FABRICATION METHOD FOR MAKING THE SAME

To:

Commissioner for Patents

15

P.O. BOX 1450

Alexandria, VA 22313-1450

Subject: Information disclosure statement under 37 CFR \$1.56

20

Dear Sir,

This is an Information Disclosure Statement in accordance with the duty to disclose information material to patentability under 37 C.F.R. §1.56. The 25 applicant wishes to make of record the documents listed on the accompanying form PTO/SB/08. It is respectfully requested that the examiner initials the references on the form and that it be made of record in the application and that a copy of the initialed form be 30 sent to the applicant with the next communication from the examiner.

Since this IDS is filed after the mailing date of the first Office action but before notice of allowance, consideration of the information disclosure statement is hereby requested according to 37 CFR \$1.97(e). That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application,

and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

15 The applicant requests that the examiner consider the items contained in this IDS

Respectfully submitted,

20

Weintonbars

Date:

January 6, 2005

Winston Hsu, Patent Agent No. 41,526

P.O. BOX 506, Merrifield, VA 22116, U.S.A.

25 Voice Mail: 302-729-1562

Facsimile: 806-498-6673

e-mail: winstonhsu@naipo.com

Note: Please leave a message in my voice mail if you need to talk to me. The time difference between D.C. and Taiwan is 13 hours. The preferred time period for telephone conversation is 7 AM (or earlier) - 11 AM, D.C. time.